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12-1-98  
PATENT

Docket No. 0225-4161US16

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

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NOV 27 1998

Group 2700

Applicant(s) : Sholom S. Rosen

Group Art Unit: 2766

Serial No : 09/138,459

Examiner: TO BE ASSIGNED

Filed : August 21, 1998

For : ELECTRONIC TRANSACTION APPARATUS FOR ELECTRONIC COMMERCE

**INFORMATION DISCLOSURE STATEMENT**

ASSISTANT COMMISSIONER FOR PATENTS  
Washington, D.C. 20231

Sir:

This Information Disclosure Statement is filed in accordance with 37 C.F.R. §§1.56, 1.97 and 1.98. The items listed on Form PTO-1449, a copy of which is enclosed, may be deemed to be pertinent to the above-identified application and are made of record to assist the Patent and Trademark Office in its examination of this application. The Examiner is respectfully requested to fully consider the items and to independently ascertain their teaching.

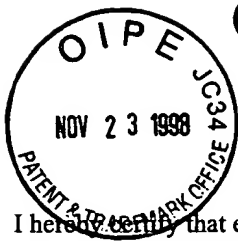
1. ☐ For each of the following items listed on the enclosed copy of Form PTO-1449 that is not in the English language, an English language translation of that item or a portion thereof or a concise explanation of the relevance of that item is enclosed:

2. ☐ For each of the following items listed on the enclosed copy of Form PTO-1449 that is not in the English language, a concise explanation of the relevance of that item is incorporated in the specification of the above-identified application.

3. ☒ Any copy of the items listed on the enclosed copy of Form PTO-1449 that is not enclosed with this Information Disclosure Statement was previously cited by or submitted to the Patent and Trademark Office in prior application Serial No. 08/895,395 filed July 16, 1997 or 08/730,158 filed October 23, 1996 or 08/575,699 filed December 19, 1995 or 08/234,461 filed April 28, 1994.

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4. ☒ No fee is due under 37 C.F.R. §1.17(p) for this Information Disclosure Statement since it is being filed in compliance with:
- ☐ 37 C.F.R. §1.97(b)(1), within three months of the filing date of the above-identified application for filing date of the continued prosecution application filed on \_\_\_\_\_; or
  - ☐ 37 C.F.R. §1.97(b)(2), within three months of the date of entry into the national stage as set forth in §1.491 in an international application; or
  - ☒ 37 C.F.R. §1.97(b)(3), before the mailing date of a first Office Action on the merits, whichever event occurred last.
5. ☐ No fee is due under 37 C.F.R. §1.17(p) for this Information Disclosure Statement since it is being filed in compliance with 37 C.F.R. §1.97(c), after the period specified in paragraph 4 above but before the mailing date of a final action or a Notice of Allowance (where there has been no prior final action), and is accompanied by one of the certifications pursuant to 37 C.F.R. §1.97(e) set forth in paragraph 9 below.
6. ☐ A fee is due under 37 C.F.R. §1.17(p) for this Information Disclosure Statement since it is being filed in compliance with 37 C.F.R. §1.97(c), after the period specified in paragraph 4 above but before the mailing date of a final action or a notice of allowance (where there has been no prior final action):
- ☐ A check in the amount of \$240.00 is enclosed in payment of the fee.
  - ☐ Charge the fee to Deposit Account No. 13-4500. Order No. \_\_\_\_\_. A  
DUPLICATE COPY OF THIS SHEET IS ATTACHED.
7. ☐ A fee is due under 37 C.F.R. §1.17(i)(1) for this Information Disclosure Statement since it is being filed in compliance with 37 C.F.R. §1.97(d), after the mailing date of a final action or a notice of allowance, whichever comes first, but before payment of the issue fee, and is accompanied by:
- a. ☐ one of the certifications pursuant to 37 C.F.R. §1.97(e) set forth in paragraph 9 below; and
  - b. ☐ the attached petition requesting consideration of this Information Disclosure Statement; and
  - c. ☐ the fee due under 37 C.F.R. §1.17(i)(1) which is paid as set forth in paragraph 10 below.
8. ☐ A fee is due under 37 C.F.R. §1.17(i)(1) for this Information Disclosure Statement since it is being filed in compliance with:
- a. ☐ 37 C.F.R. §1.313(b)(3), after the issue fee has been paid and information cited in this Information Disclosure Statement may render at least one claim unpatentable and is accompanied by the attached Petition To Withdraw Application From Issue;
  - b. ☐ 37 C.F.R. §1.313(b)(5), after the issue fee has been paid and information cited in this Information Disclosure Statement is to be considered in a Continuation application upon abandonment of the instant application and is accompanied by the attached Petition To withdraw Application From Issue.
  - c. ☐ The fee due under 37 C.F.R. §1.17(i)(1) is paid as set forth in paragraph 10 below.



Docket No. 0225-4161US16

9. ☐ I hereby certify that each item of information contained in the Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Information Disclosure Statement.

☐ I hereby certify that no item of information in the Information Disclosure Statement field herewith was cited in a communication from a foreign patent office in a counterpart foreign application or, to my knowledge after make reasonable inquiry, was known to any individual designated in §1.56(c) more than three months prior to the filing of this Information Disclosure Statement.

10. ☐ A check in the amount of \$130.00 is enclosed in payment of the fee due under C.F.R. §1.17(i)(1).

☐ Charge the fee due under C.F.R. §1.17(i)(1) to Deposit Account No. 13-4500. Order No. \_\_\_\_\_ A DUPLICATE COPY OF THIS SHEET IS ATTACHED.

☒ The Assistant Commissioner is hereby authorized to charge any additional fees which may be required for this Information Disclosure Statement, or credit any overpayment to Deposit Account No. 13-4500. Order No. 0225-4161US16. A DUPLICATE COPY OF THIS SHEET IS ATTACHED.

Respectfully submitted,

MORGAN & FINNEGAN, L.L.P.

Dated: November 23, 1998

By: 

LAURENCE J. BROMBERG

Registration No. 36,095

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FORM: IDS.NY  
Rev. 05/26/98



GAU 2766

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Group Art Unit: 2766

Serial No.: 09/138,459

Examiner: TO BE ASSIGNED

Filed: August 21, 1998

For: ELECTRONIC TRANSACTION APPARATUS FOR ELECTRONIC COMMERCE

EXPRESS MAIL CERTIFICATE

Express Mail Label No. EH057145585US

Date of Deposit November 23, 1998

I hereby certify that the following attached paper(s) and/or fee

1. INFORMATION DISCLOSURE STATEMENT
2. PTO FORM-1449
3. Five (5) REFERENCES
4. RETURN POSTCARD

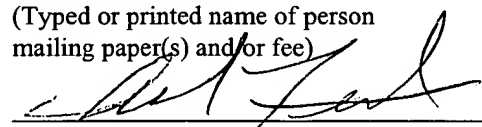
is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37

C.F.R. §1.10 on the date indicated above and is addressed to the Assistant Commissioner for Patents, Washington,

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ISRAEL FUENTES

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mailing paper(s) and/or fee)

  
(Signature of person mailing  
paper(s) and/or fee)

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GROUP 2700

PTO-1449	U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE	ATTY. NO.: 0225-4161 US16	SERIAL NO.: 09/138,459
<b>INFORMATION DISCLOSURE CITATION</b> (Use several sheets if necessary)		<b>RECEIVED</b> <b>NOV 27 1998</b>	
		APPLICANT(S): <b>Sholom S. Rosen</b> FILING DATE: 8/21/98	
		GROUP ART UNIT: 2766 <b>Group 2700</b>	

## U.S. PATENT DOCUMENTS

EXAMINER INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	5,453,601	09/26/95	Rosen			11/15/91
	5,539,828	7 / 1996	Davis			05/31/94
	5,473,692	12 / 1995	Davis			09/07/94
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	4,529,870	7 / 1985	Chaum			
	4,634,807	1 / 1987	Chorley et al.			
	4,644,493	2 / 1987	Chandra et al.			
	4,817,140	3 / 1989	Chandra et al.			
	4,916,738	4 / 1990	Chandra et al.			

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	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
						YES	NO
	0 380 377 B1 (with Abstract)	8 / 1990	EPO				
	4 191 06 A1	3 / 1991	EPO				X
	9308545	4 / 1993	WIPO				

## OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Papers, Etc.)

	"Online Cash Checks", Chaum, D.; <i>Advances in Cryptology</i> EUROCRYPT '89, Qiusquarter & J. Vandewalle (Eds.) Springer-Verlag, pp. 288-293.
	"Achieving Electronic Privacy", Chaum, D.; <i>Scientific American</i> , Aug. 1992, pp. 96-101.
	"Value Exchange Systems Enabling Security and Unobservability", Burk, H., et al., <i>Computers &amp; Security</i> , 9 (1990), pp. 715-721.
	"Proxy-Based Authorization and Accounting for Distributed Systems", Neuman, B. Clifford; <i>Proceedings of the 13th International Conference on Distributed Computing Systems</i> , Pittsburgh, May 1993.
	"Le paiement électronique", P. Rémy, J.C. Pailles and F. Lay, <i>L'Echo des RECHERCHES</i> , No. 134 4 trimestre 1988 (with English-language translation).

EXAMINER

DATE CONSIDERED

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

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	4,926,480	5 / 1990	Chaum			
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## FOREIGN PATENT DOCUMENTS

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						YES	NO
	9401825	1 / 1994	WIO				
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	22 57 55 7	1 / 1993	UK				

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	"Padlock", D. Everett, <i>Computer Bulletin</i> , Mar. 1985, pp. 16-17.
	"ABYSS: A Trusted Architecture for Software Protection", S.R. White and L. Comerford, <i>IEEE</i> , 1987.
	"Public Protection of Software", A. Herzberg and S.S. Pinter, <i>ACM Transactions on Computer Systems</i> , vol. 5, no. 4, Nov. 1987, pp. 371-393.
	"Security Without Identification: Card Computers To Make Big Brother Obsolete", D. Chaum, 1987.
	"Internet Billing Service Design and Prototype Implementation", Marvin A Sirbu, <i>IMA Intellectual Property Project Proceedings</i> , vol. 1, Issue 1, Jan. 1994.
	"Dyad: A System for Using Physically Secure Coprocessors", J.D. Tygar and B. Yee, School of Computer Science, Carnegie Mellon Univ., Pittsburgh, PA.

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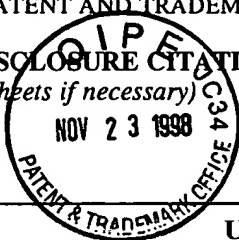
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	5,202,921	4 / 1993	Herzberg et al.			
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	5,247,578	9 / 1993	Pailles et al.			
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	5,440,634	8 / 1995	Jones et al.			
	4,794,644	12 / 1988	Philip et al.			

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						YES	NO
CMT	Hei 4-64129	2/28/1992	JP			X	

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	"Trusted Devices as applied to Corporate Key Escrow", F. Sudia, Jan. 14, 1994, Bankers Trust Co.
	"Wavemeter Chip Provides Digital Money", M. Slater, <i>Microprocessor Report</i> , Vol. 8, No. 5, Apr. 18, 1994.
	"Data Networks and Open System Communications Directory / Information Technology - Open Systems Interconnection - The Directory: Authentication Framework," ITU-T Recommendation X.509, Nov. 1993
	"Anonymous Internet Mercantile Protocol", AT&T Bell Laboratories, Draft: March 17, 1994, pp. 1-16, David M. Kristol, Steven H. Low, Nicholas F. Maxemchunk
	Literature of Microcomputer [II], edited by Nihon Denshi Kogyo Sinko Kyokai (March, 1988), pp. 190-217 (Japanese language) and English translation thereof.

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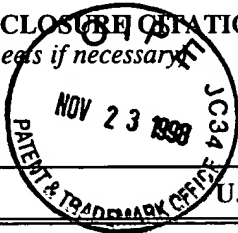
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	5,177,791	1 / 1993	Yeh et al.			
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	4,879,747	11 / 1989	Leighton et al.			
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	4,868,877	9 / 1989	Fischer			

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						YES	NO

## OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Papers, Etc.)

		"Universal Electronic Cash", Tatsuaki Okamoto and Kazuo Ohta, CRYPTO '91, (Session 8: Applications and Implementations; pp. 8-7 through 8-13).
		"Limitations of the Kerberos Authentication System", Steven M. Bellovin and Michael Merritt, USENIX - Winter '91 (1-15).

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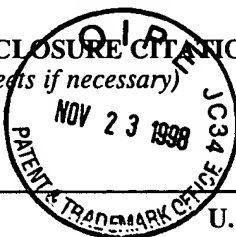


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	4,723,284	2 / 1998	Munck et al.			
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cmT	5,675,734	10 / 97	Hair			2/27/96
cmT	4,528,643	7 / 85	Freeny, Jr.			1/10/83

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					Yes No

## OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Papers, Etc.)

		"Applied Cryptography: Protocols, Algorithms, and Source Code in C", Bruce Schneier, John Wiley & Sons, Inc. (417-429) ISBN 0-471-59756-2; QA76.9.A25S35 1993.
		"An Architecture for Practical Delegation in a Distributed System", Morrie Gasser, Ellen McDermott, IEEE Computer Society Press, IEEE Computer Society Symposium on Research in Security and Privacy, May 7-9, 1990.
		"Practical Uses of Synchronized Clocks in Distributed Systems", Barbara Liskov, ACM Press, 10 <sup>th</sup> Annual ACM Symposium on Principles of Distributed Computing, Aug. 19-21, 1991, ISBN 0-89791-439-2.
		"SPX: Global Authentication Using Public Key Certificates", Joseph J. Tardo and Kannan Alagappan, IEEE 191 (CH2986-8/91/0000/0232).
		"The Digital Distributed System Security Architecture", Morrie Gasser, et al., Nat'l. Inst. of Standards and Tech./Nat'l Computer Security Ctr., 12 <sup>th</sup> National Computer Security Conferences, Baltimore, MD Oct. 10-13, 1989.

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